

# PATENT COOPERATION TREATY

## PCT

### INTERNATIONAL PRELIMINARY REPORT ON PATENTABILITY

(Chapter II of the Patent Cooperation Treaty)

(PCT Article 36 and Rule 70)

Applicant's or agent's file reference P33200-PO	<b>FOR FURTHER ACTION</b> <small>See Form PCT/IPEA/416</small>	
International application No. PCT/JP2004/002928	International filing date (day/month/year) 05.03.2004	Priority date (day/month/year) 03.04.2003
International Patent Classification (IPC) or national classification and IPC H04L29/06		
<b>Applicant</b> MATSUSHITA ELECTRIC INDUSTRIAL CO., LTD. et al.		
<p>1. This report is the international preliminary examination report, established by this International Preliminary Examining Authority under Article 35 and transmitted to the applicant according to Article 36.</p> <p>2. This REPORT consists of a total of 7 sheets, including this cover sheet.</p> <p>3. This report is also accompanied by ANNEXES, comprising:</p> <p>a. <input type="checkbox"/> <i>(sent to the applicant and to the International Bureau) a total of sheets, as follows:</i></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> sheets of the description, claims and/or drawings which have been amended and are the basis of this report and/or sheets containing rectifications authorized by this Authority (see Rule 70.16 and Section 607 of the Administrative Instructions).</li> <li><input type="checkbox"/> sheets which supersede earlier sheets, but which this Authority considers contain an amendment that goes beyond the disclosure in the international application as filed, as indicated in item 4 of Box No. I and the Supplemental Box.</li> </ul> <p>b. <input type="checkbox"/> <i>(sent to the International Bureau only) a total of (indicate type and number of electronic carrier(s)) , containing a sequence listing and/or tables related thereto, in computer readable form only, as indicated in the Supplemental Box Relating to Sequence Listing (see Section 802 of the Administrative Instructions).</i></p>		
<p>4. This report contains indications relating to the following items:</p> <ul style="list-style-type: none"> <li><input checked="" type="checkbox"/> Box No. I Basis of the opinion</li> <li><input type="checkbox"/> Box No. II Priority</li> <li><input type="checkbox"/> Box No. III Non-establishment of opinion with regard to novelty, inventive step and industrial applicability</li> <li><input type="checkbox"/> Box No. IV Lack of unity of invention</li> <li><input checked="" type="checkbox"/> Box No. V Reasoned statement under Article 35(2) with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement</li> <li><input type="checkbox"/> Box No. VI Certain documents cited</li> <li><input checked="" type="checkbox"/> Box No. VII Certain defects in the international application</li> <li><input checked="" type="checkbox"/> Box No. VIII Certain observations on the international application</li> </ul>		
Date of submission of the demand 05.07.2004	Date of completion of this report 25.02.2005	
Name and mailing address of the international preliminary examining authority:  European Patent Office D-80298 Munich Tel. +49 89 2399 - 0 Tx: 523656 epmu d Fax: +49 89 2399 - 4465	Authorized Officer Günther, S Telephone No. +49 89 2399-6962	



**INTERNATIONAL PRELIMINARY REPORT  
ON PATENTABILITY**

International application No.  
PCT/JP2004/002928

**Box No. I Basis of the report**

1. With regard to the **language**, this report is based on the international application in the language in which it was filed, unless otherwise indicated under this item.
  - This report is based on translations from the original language into the following language, which is the language of a translation furnished for the purposes of:
    - international search (under Rules 12.3 and 23.1(b))
    - publication of the international application (under Rule 12.4)
    - international preliminary examination (under Rules 55.2 and/or 55.3)
2. With regard to the **elements\*** of the international application, this report is based on (*replacement sheets which have been furnished to the receiving Office in response to an invitation under Article 14 are referred to in this report as "originally filed" and are not annexed to this report*):

**Description, Pages**

1-57 as originally filed

**Claims, Numbers**

1-17 as originally filed

**Drawings, Sheets**

1/20-20/20 as originally filed

- a sequence listing and/or any related table(s) - see Supplemental Box Relating to Sequence Listing

3.  The amendments have resulted in the cancellation of:
  - the description, pages
  - the claims, Nos.
  - the drawings, sheets/figs
  - the sequence listing (*specify*):
  - any table(s) related to sequence listing (*specify*):
4.  This report has been established as if (some of) the amendments annexed to this report and listed below had not been made, since they have been considered to go beyond the disclosure as filed, as indicated in the Supplemental Box (Rule 70.2(c)).
  - the description, pages
  - the claims, Nos.
  - the drawings, sheets/figs
  - the sequence listing (*specify*):
  - any table(s) related to sequence listing (*specify*):

\* If item 4 applies, some or all of these sheets may be marked "superseded."

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**Box No. V Reasoned statement under Article 35(2) with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement**

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1. Statement

Novelty (N)	Yes: Claims	1-7,9-14,16
	No: Claims	8,15,17
Inventive step (IS)	Yes: Claims	
	No: Claims	1-17
Industrial applicability (IA)	Yes: Claims	1-17
	No: Claims	

2. Citations and explanations (Rule 70.7):

**see separate sheet**

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**Box No. VII Certain defects in the international application**

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The following defects in the form or contents of the international application have been noted:

**see separate sheet**

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**Box No. VIII Certain observations on the international application**

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The following observations on the clarity of the claims, description, and drawings or on the question whether the claims are fully supported by the description, are made:

**see separate sheet**

**INTERNATIONAL PRELIMINARY  
REPORT ON PATENTABILITY  
(SEPARATE SHEET)**

International application No.

PCT/JP2004/002928

The examination is being carried out on the **following application documents:**

Text for the Contracting States:

AL AT BE BG CH CY CZ DE DK EE ES FI FR GB GR HU IE IT LI LT LU LV MC MK NL PL PT RO SE SI SK TR

**Description, pages:**

1-57 as originally filed

**Claims, No.:**

1-17 as originally filed

**Drawings, sheets:**

1/20-20/20 as originally filed

**Re Item V**

**Reasoned statement with regard to novelty, inventive step or industrial applicability;  
citations and explanations supporting such statement**

1. Reference is made to the following documents:

D1: 'Certificate revocation and certificate update', XP002238503

D2: US-B1-6 442 689

2. The present clarity issues (see item VIII) notwithstanding, the subject-matter of independent claim 15, which has the broadest scope, is not new, Article 33(2) PCT.

2.1. Document D1 discloses with regard to all the features of claim 15 (the references in parentheses applying to this document):

a certificate issuing method (page 218, left column, lines 36-37) for issuing a server certificate indicating validity of a server apparatus, comprising

- a revocation number storage step of storing, into a recording unit (page 217, right column, lines 37-40), a revocation number that is information serving as a criterion for judging validity of the server certificate (page 218, right column, lines 19-22); and
- an issuing step of issuing a new server certificate (page 218, right column, lines 11-13),
- wherein in the issuing step, the new server certificate that includes an identification number is issued (page 218, right column, lines 13-15), the identification number indicating a value which is equal to or larger than the revocation number stored by the recording unit (page 218, right column, lines 15-18).

3. The subject-matter of independent claims 8, 17 is also not new, Article 33(2) PCT.
  - 3.1. For apparatus claim 8 and computer product claim 17, the objection for method claim 15 is also valid as the subject-matter of claims 8 and 17 entirely corresponds to the already known subject-matter of claim 15.
  4. The subject-matter of independent claim 14 cannot be considered as involving an inventive step, Article 33(3) PCT.
    - 4.1. The features of method claim 14 correspond to the method steps of claim 15 (see 2.1.), and, in addition, claim 14 mentions a revocation number obtainment step, an identification number reading step and a certificate judgement step, which are disclosed in D1 (page 218, left column, lines 44-46, page 218, right column, lines 11-22, page 217, left column, lines 5-7).
    - 4.2. The subject-matter of claim 14 in the present application differs from the disclosure in D1 in that it additionally contains establishing a communication with a server when the server certificate is judged to be valid.

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- 4.3. The objective technical problem to be solved by the invention is to communicate with the server by the time the server has been authenticated.
- 4.4. Establishing a communication to a server whose certificate has been judged to be valid is a common measure in a communication network. This measure is, e.g., known from the establishment of a secure connection to a network or application server, see also D2 (column 1, lines 33-37).
5. Also, the subject-matter of independent claim 1, 13, 16 cannot be considered as involving an inventive step, Article 33(3) PCT.
  - 5.1. For apparatus claim 1 and computer product claim 16, the objection for method claim 14 is also valid as the subject-matter of claims 1 and 16 entirely corresponds to the non-inventive subject-matter of claim 14.
  - 5.2. The subject-matter of apparatus claim 13 contains the certificate issuing apparatus of claim 8, which is known from D1 (see 3.1.), and the related communication apparatus of claim 1, whose subject-matter is not inventive in the light of D1 (see 5.1.).
6. The additional features of the dependent claims do not add anything inventive to the independent claims because the features are either known from the above cited prior art or are common measures.
  - 6.1. The certificate judgement unit in claim 2 is not new or inventive (D1, page 218, right column, lines 15-18).
  - 6.2. The revocation number judgement unit according to claims 3, 4, 5, 6, 7 is not inventive (D1, page 217, right column, lines 37-40 and page 218, right column, lines 15-18).
  - 6.3. The revocation number update unit of claim 9 is not inventive (D1, page 217, right column, lines 37-40 and page 218, right column, lines 15-18).